



Privium Fund Management (UK) Limited

Job title: Compliance Analyst

Company Overview:

Working at Privium Fund Management means you will be working in a growing and immensely professional company. As an independent, global investment management firm Privium works in partnership with investors over the world to develop, structure and manage alternative investment strategies. Our global team consists of 35 employees and approximately 100 investment professionals.

Privium Fund Management (UK) Limited ("Privium") based in London is authorised and regulated by the Financial Conduct Authority (FCA) to undertake investment management and investment advisory activities as a Collective Portfolio Management Investment Firm (FCA firm reference number 471186).

Privium's regulatory approvals enable it to manage and advise Alternative Investment Funds (AIF's) and UCITS as well as to manage discretionary accounts. It acts as a Principal firm for a number of Portfolio Managers (also known as Trading Divisions or TDs) and Appointed Representatives (ARs) whom are provided an infrastructure in which to carry out regulated activities in the UK.

Privium works in partnership with these talented portfolio managers and investment advisers to provide them with a robust, regulated, operational environment in which they can focus their investment expertise on their own funds, managed accounts or clients whilst benefitting from Privium's knowledge, experience, and infrastructure.

The role

As a Compliance Analyst you will be part of a small, customer facing team providing support, advice and guidance both internally and externally. A key objective is to ensure that our ARs/TDs understand and adhere to the regulatory framework under the FCA.

The ideal candidate will have worked in a compliance role or will have had exposure to a regulator control environment within Asset Management in the last 2 years and demonstrate an understanding of the FCA regulatory requirements.

The following attributes are considered essential to this role:

- Positive and enthusiastic character, self-motivated and willing to learn;
- Team-orientated, collaborate well with colleagues, work independently and confidently to see tasks through to completion;
- Proactive communication and approach, well organised with good attention to detail and an inquisitive mindset / desire to enhance systems and processes;
- Previous experience of working in a compliance and/or risk environment (ideally in Asset Management);
- Knowledge of AIFMD/UCITS and / or experience or involvement in compliance project management work (e.g. MiFID II, GDPR, SMCR);
- Prioritisation skills and/or experience managing client demands; and
- Proficient in Microsoft Office skills (Excel, Word, Powerpoint, Outlook, etc).

Summary of principal tasks:

- Assisting with the on-boarding of new ARs/TDs to establish appropriate compliance infrastructures, seeking regulatory approvals and off-boarding where required;
- Working with new ARs/TDs to develop and implement the necessary policies and procedures;
- Assist with delivering the compliance monitoring programme including assisting with the preparation of quarterly review meetings with ARs/TDs.
- Assist with reviewing financial promotions and answering ad hoc compliance queries from ARs/TDs.
- Accurately maintaining records and registers.